**FORM 13F COVER PAGE**

**THIS IS A PUBLIC FILING AND IT WILL BE DISSEMINATED.**  
For a confidential filing, please see our [Form 13F-CTR Client Worksheet](https://go.toppanmerrill.com/form-13f-ctr-cover-page).

See our [Form 13F-HR Information Table Worksheet](https://go.toppanmerrill.com/form-13-f-information-table-worksheet)

|  |  |
| --- | --- |
| Report for the Calendar Year or Quarter Ended: |  |
|  | MM-DD-YYYY Valid MM-DD are:  03-31, 06-30, 09-30, 12-31 |

**For amended filings only:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Check here if Amendment: |  | Amendment Number: | | |  |
|  | | | (2-character limit) | | |
| This Amendment (Check only one.): | | |  | is a restatement. | |
|  | | |  | adds new holdings entries. | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Check if confidential treatment has expired or was denied: | | | |  |  |
| **Form 13F-HR/A Only:** If the box indicating “Check if confidential treatment has expired or was denied” is checked, then the following information is required: | | | | | |
| Date of Denial or Expiration: |  | |  | | |
|  | MM-DD-YYYY | | | | |
| Date Reported: |  | |  | | |
|  | MM-DD-YYYY | | | | |
| Reason for non-confidentiality: |  | Denied | | | |
|  |  | Confidential Treatment Expired | | | |

**Institutional Investment Manager Filing this Report:**

|  |  |  |  |
| --- | --- | --- | --- |
| Name:\* |  | | |
|  | (150-character limit) | | |
| Address: \* |  | | |
|  | Street 1 (40-character limit) | | |
|  |  | | |
|  | Street 2 (40-character limit) | | |
|  |  |  |  |
|  | City | [State](http://www.sec.gov/edgar/searchedgar/edgarstatecodes.htm)\*\* | Zip/Foreign Postal Code |
|  | (30-character limit) |  | (10-character limit) |
| CRD Number: \*\*\* |  | | |
|  | (9-character limit) | | |
| Manager’s SEC File Number: \*\*\* |  | | |
|  | (e.g., file number prefix 801-, 8-, 866-, 802-) | | |

\* Name and entire Address must exactly match the name and address associated with the filer’s CIK on the SEC EDGAR database (includes spelling and punctuation, but not casing).  
Ask your Customer Service Representative for a copy of your SEC EDGAR profile, as needed.

\*\* “State” must use the [SEC list of predefined State/Country Codes](http://www.sec.gov/edgar/searchedgar/edgarstatecodes.htm) (Ctrl+Click on link).

\*\*\* Optional.

The institutional investment manager filing this report and the person by whom it is signed hereby represent that the person signing the report is authorized to submit it, that all information contained herein is true, correct and complete, and that it is understood that all required items, statements, schedules, lists, and tables, are considered integral parts of this form.

**Person Signing this Report on Behalf of Reporting Manager:**

|  |  |
| --- | --- |
| Name: |  |
|  | (150-character limit) |
| Title: |  |
|  | (60-character limit) |
| Phone: |  |
|  | (20-character limit) Hyphens may be included to improve readability. |

**Signature, Place, and Date of Signing:**

|  |  |  |  |
| --- | --- | --- | --- |
|  |  |  |  |
| Signature (150-character limit) | City (30-character limit for city) | [State](http://www.sec.gov/edgar/searchedgar/edgarstatecodes.htm)\* | Date MM-DD-YYYY |

\* “State” must use the SEC list of predefined State/Country Codes.

**Report Type (Check only one.):**

|  |  |
| --- | --- |
|  | **13F HOLDINGS REPORT**. (Check here if all holdings of this reporting manager are reported in this report.) |
|  | **13F NOTICE**. (Check here if no holdings reported are in this report, and all holdings are reported by other reporting manager(s).) |
|  | **13F COMBINATION REPORT**. (Check here if a portion of the holdings for this reporting manager are reported in this report and a portion are reported by other reporting manager(s).) |

**List of Other Managers Reporting for this Manager:**

(If there are no entries in this list, ignore this section.)

Required for 13F Combination Reports and 13F Notice Reports (only name is required).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| CIK\* (10-character limit) | Name\*\*\* (150-character limit) | Form 13F File Number\*\* | CRD No.\* (9-character limit) | Manager’s SEC File Number\*\*\*\* |
|  |  |  |  |  |
|  |  |  |  |  |

(Add additional rows as needed, up to 100 may be added.)

\* Optional.

\*\* Optional. Must begin with **028-**.

\*\*\* Required. If CIK is entered, the Name must exactly match the name associated with the CIK on the SEC EDGAR database (includes spelling, punctuation and casing).   
You may use the [Company Filings search](http://www.sec.gov/edgar/searchedgar/companysearch.html) on SEC website to view the company name associated with a CIK (Ctrl+Click on link).

\*\*\*\* Optional. May begin with **801-, 8-, 866-, 802-**.

**Information relevant to Special Instruction 5:**

|  |  |  |
| --- | --- | --- |
| Do you wish to provide information pursuant to Special Instruction 5? (check) |  |  |
| **Additional Information:** | | |
|  | | |

(The box for Special Instruction 5 must be checked to enter text in this field. 4000-character limit.)

**FORM 13F SUMMARY PAGE  
(Form 13F-HR only)**

**Report Summary:**

|  |  |
| --- | --- |
| Number of Other Included Managers: |  |
| (if none, enter number zero (“0”)) | (3-digit limit, matches number of rows in List of Other Included Managers below) |
| Form 13F Information Table Entry Total: |  |
|  | (6-digit limit, omit commas) |
| Form 13F Information Table Value Total: |  |
|  | (To the nearest $) (16-digit limit, omit commas) |

|  |  |
| --- | --- |
|  | Confidential information has been omitted from the public Form 13F report and filed separately with the Commission. |

**List of Other Included Managers:**

Provide a numbered list of the name(s) and Form 13F number(s) of all institutional investment managers with respect to which this report is filed, other than the manager filing this report.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| No.(1) | Name(2) (150-character limit) | CIK(3) (10-character limit) | Form 13F File Number(4) | CRD No.(3) (9-character limit) | Manager’s SEC File Number(5) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

(Add additional rows as needed, 999 row limit. If table is blank, the word NONE will appear.)

(1) Required. Numbers must be integers only and each row numbered in order, but may not be numbered sequentially (*e.g.*, 1, 2, 5, 9, 12, …999, maximum of 999).

(2) Required. If CIK is entered, the Name must exactly match the name associated with the CIK on the SEC EDGAR database (includes spelling, punctuation and casing).  
You may use the [Company Filings search](http://www.sec.gov/edgar/searchedgar/companysearch.html) on SEC website to view the company name associated with a CIK (Ctrl+Click on link).

(3) Optional.

(4) Optional. Must begin with **028-**.

(5) Optional. May begin with **801-, 8-, 866-, 802-**.